Financial Disclosure Management (FDM)

- An Office of Government Ethics (OGE) Agency Model Practice

https://www.FDM.Army.mil

CECOM LCMC Life Cycle Management Command

Financial Disclosure Management

Streamlining the financial disclosure reporting and review process

The goal of FDM is simple -

Replace the manual OGE 278 and OGE 450 reporting process with an online application that is efficient, accurate, and secure.

Benefits

- **Efficient**
  - Wizard walks you through the process quickly and effectively
  - Paperless workflow eliminates hand-offs between filers and reviewers.

- **Accurate -** FDM incorporates Office of Government Ethics (OGE) certified business rules ensuring accurate and consistent financial disclosure reports the first time.

- **Secure –** Only a filer and his/her review chain can view the report. All personal information is protected through the use of security features such as encryption and user authentication.

FDM Has It All

- **Compliance –** Built-in OGE-approved Best Practices & Standards
- **Trust –** Since 2004, over 260,000 reports filed and reviewed in FDM.
- **Knowledge -** We have a top-notch team of IT and ethics process professionals.
- **Experience –** A proven track record of implementing FDM to over 15 Government Agencies.
- **Support -** Online training videos, instructor led classes, and Financial Disclosure process experts staffing our Customer Support Center.

Who Uses FDM?

UNITED STATES OFFICE OF GOVERNMENT ETHICS

DEPARTMENT OF VETERANS AFFAIRS
UNITED STATES OF AMERICA

U.S. DEPARTMENT OF HOMELAND SECURITY

CDC
CENTERS FOR DISEASE CONTROL AND PREVENTION

DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION
FIDELITY
BRAVERY
INTEGRITY

DEPARTMENT OF THE ARMY
UNITED STATES OF AMERICA
1775

DEPARTMENT OF THE AIR FORCE
UNITED STATES OF AMERICA

DEFENSE INFORMATION SYSTEMS AGENCY

DEFENSE CONTRACT MANAGEMENT AGENCY
DEPARTMENT OF DEFENSE

DEPARTMENT OF THE NAVY
UNITED STATES OF AMERICA

DEFENSE THREAT REDUCTION AGENCY
UNITED STATES OF AMERICA

JOINT
CHIEFS OF STAFF

DEPARTMENT OF DEFENSE
UNITED STATES OF AMERICA

UNITED STATES
STRATEGIC COMMAND

NATIONAL GUARD
ALWAYS READY ALWAYS THERE

User Testimonial

“FDM was remarkably adaptable to the diverse CECOM LCMC community, and we were able to successfully unite filers from across the continental United States and in several overseas and remote locations. Even though filers were globally separated from their supervisors and ethics counselors, the FDM program seamlessly processed the forms with demonstrated convenience and speed.”

- Ethics Counselor

Our Government Relies on FDM

- Over 106,000 registered Confidential and Public Filers
  - DoD: 96,000 filers from various DoD components
  - Department of Veterans Affairs: All 278 and 450 filers
  - Centers for Disease Control and Prevention: All SGEs
  - Department of Homeland Security: All 278 filers in Headquarters
  - **New**! Federal Bureau of Investigation: live in 2011
  - Executive Branch: 33% of all filers
- 102,000 2011 OGE 450 reports submitted
- 3,900 2011 OGE 278 reports submitted

Your Job Done Better, Easier & Faster

- Automatic validation prevents incomplete/incorrect reports.
- Management features help prioritize reviewing activities.
- Automatic Reminder Notifications ensure reports are submitted and reviewed on time.
- Ethics Training Tracking ensures compliance.
- Management Reports that give real-time visibility into your Agency’s ethics process.
- Automated data extract to support the OGE 220 reporting process
- Selected as an OGE Agency Model Practice.

FDM Offers Filers…

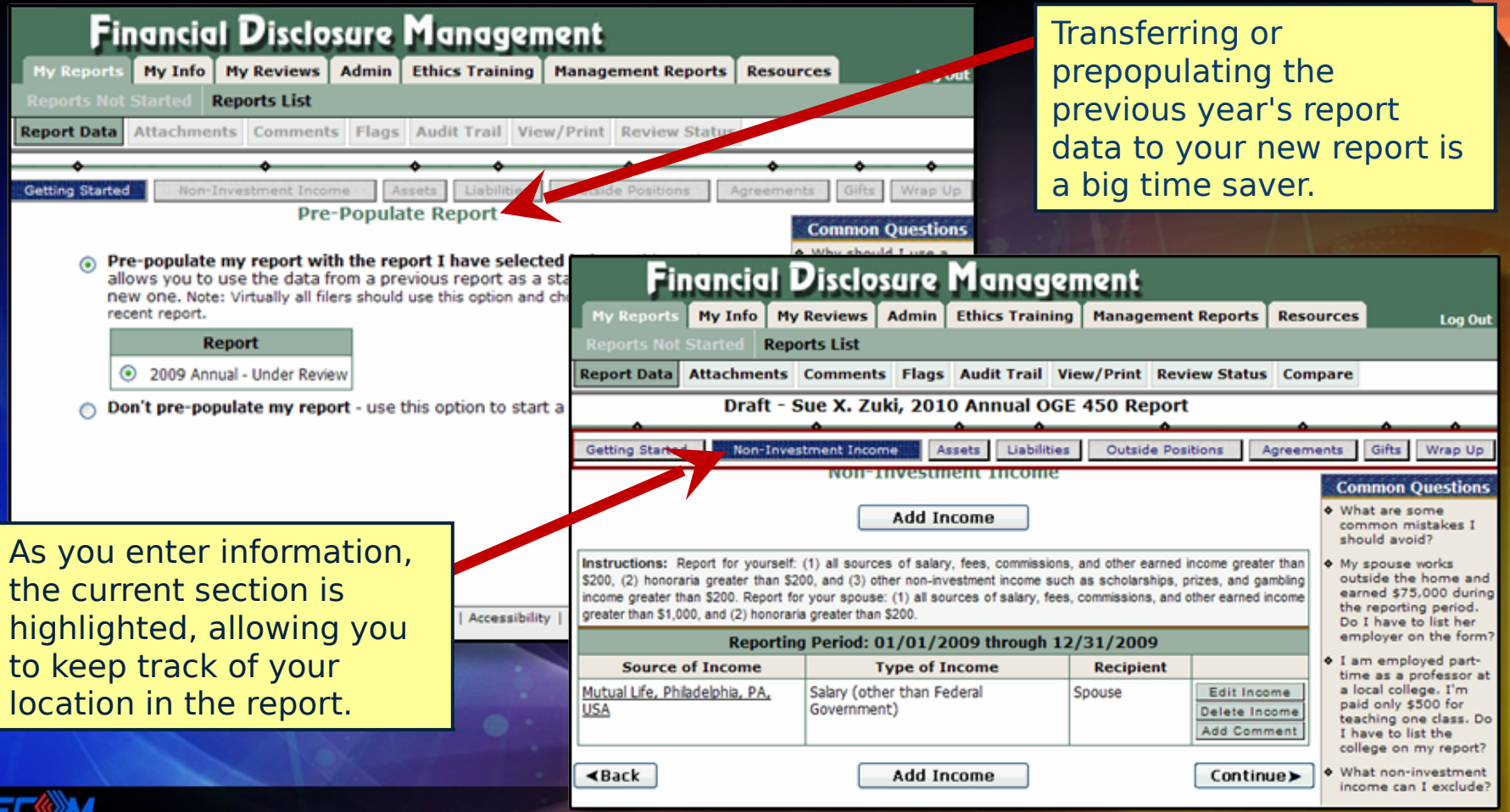
- Automatic flagging of incomplete and inconsistent data to eliminate common filer mistakes
- Simple, complete, step-by-step filing guidance
- Previous reports' data for reuse, avoiding re-entry
- Secure electronic signature capability
- The ability to delegate online filer data entry to an assistant
- Automatic notifications emailed to your Ethics Official when report is ready for their action

User Testimonial

“This online filing system is easy to use. Especially, the capability of pre-populating with a previous file is excellent.”

- Filer

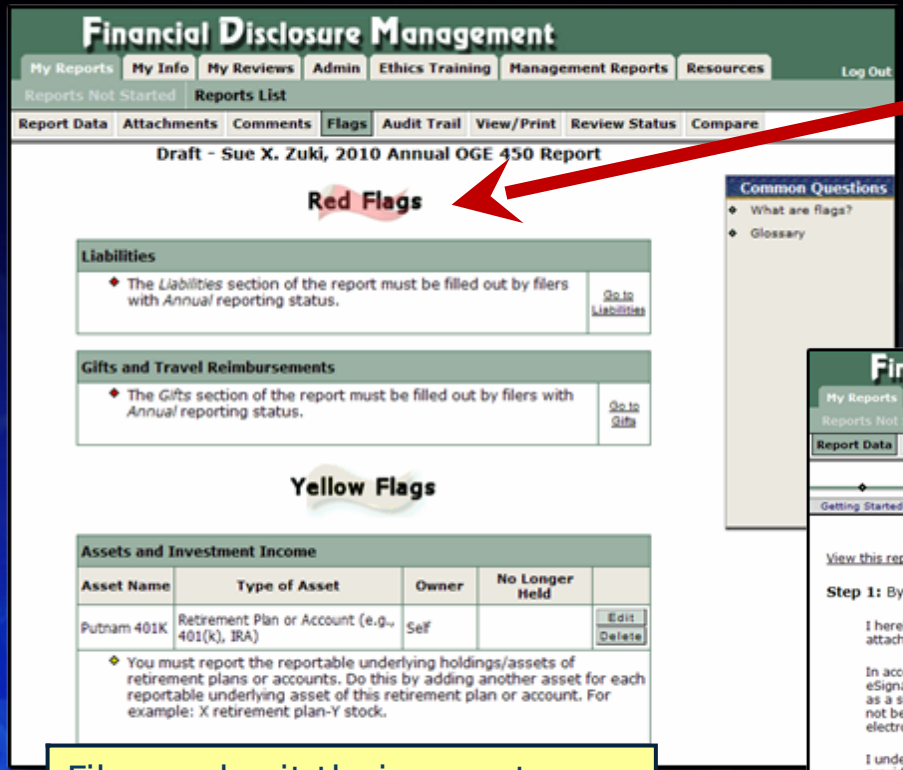
Key Features - Filers



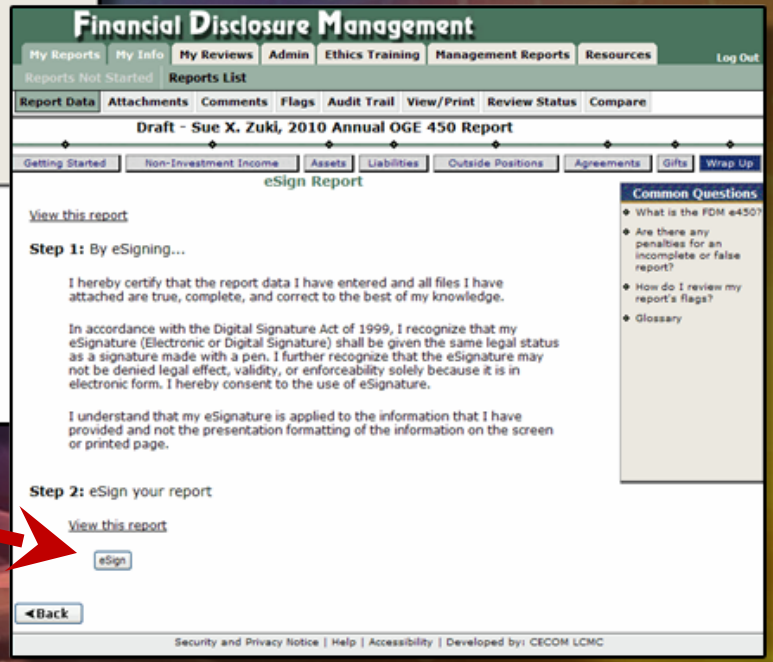
Transferring or prepopulating the previous year's report data to your new report is a big time saver.

As you enter information, the current section is highlighted, allowing you to keep track of your location in the report.

Key Features - Filers

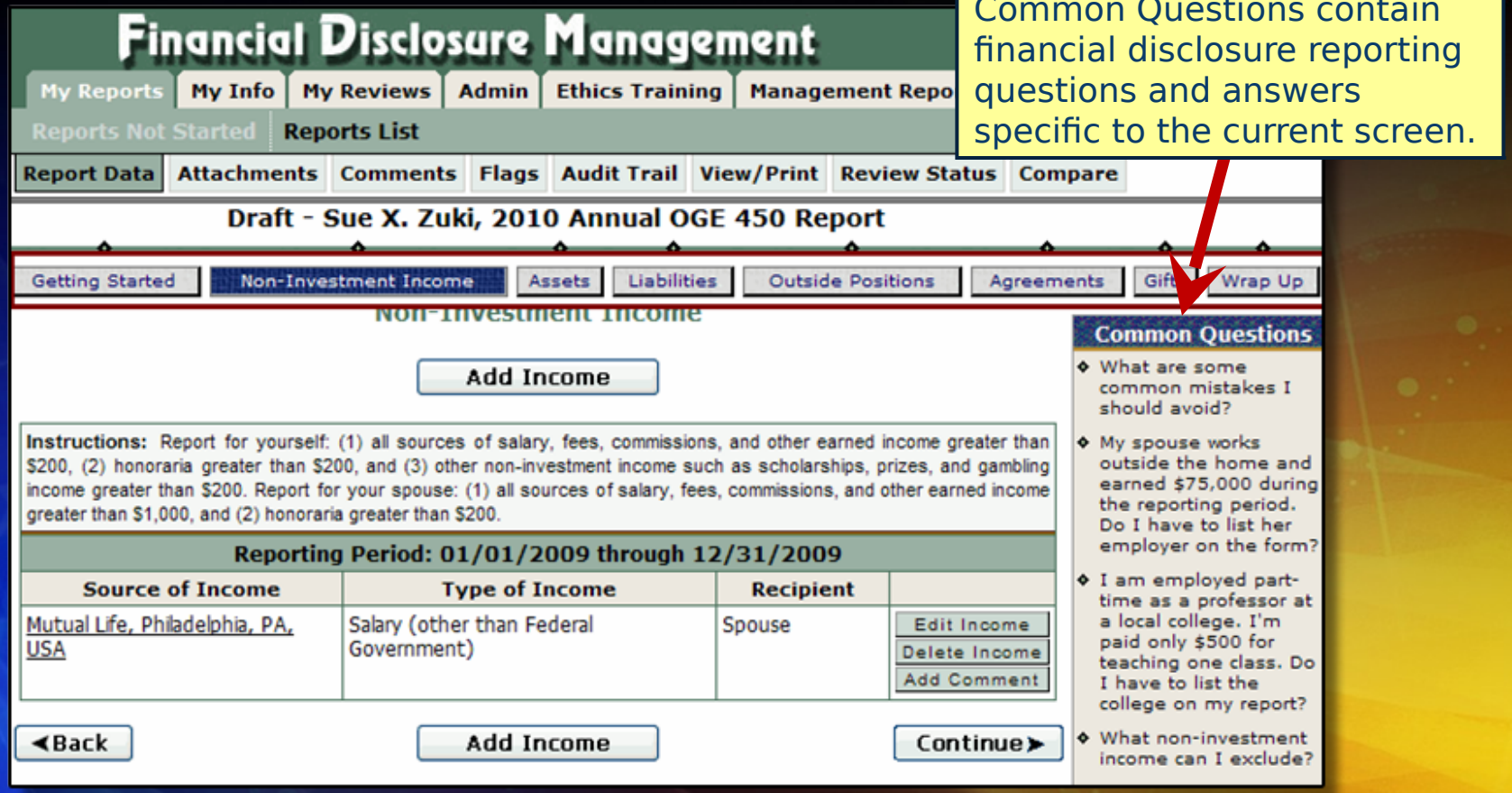


Flags alert Filers and Reviewers of any incomplete or missing information. FDM also includes error messages that indicate if information is missing.


Financial Disclosure Management
My Reports
My Info
My Reviews
Admin
Ethics Training
Management Reports
Resources
Log Out
Reports Not Started
Reports List
Report Data
Attachments
Comments
Flags
Audit Trail
View/Print
Review Status
Compare
Draft - Sue X. Zuki, 2010 Annual OGE 450 Report
Getting Started
Non-Investment Income
Assets
Liabilities
Outside Positions
Agreements
Gifts
Wrap Up
eSign Report
View this report
Step 1: By eSigning...
I hereby certify that the report data I have entered and all files I have attached are true, complete, and correct to the best of my knowledge.
In accordance with the Digital Signature Act of 1999, I recognize that my eSignature (Electronic or Digital Signature) shall be given the same legal status as a signature made with a pen. I further recognize that the eSignature may not be denied legal effect, validity, or enforceability solely because it is in electronic form. I hereby consent to the use of eSignature.
I understand that my eSignature is applied to the information that I have provided and not the presentation formatting of the information on the screen or printed page.
Step 2: eSign your report
View this report
eSign
Back
Common Questions
What is the FDM e450?
Are there any penalties for an incomplete or false report?
How do I review my report's flags?
Glossary
Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

Filers submit their reports online using an electronic signature.

Key Features - Filers


Financial Disclosure Management
My Reports
My Info
My Reviews
Admin
Ethics Training
Management Repo
Reports Not Started
Reports List
Report Data
Attachments
Comments
Flags
Audit Trail
View/Print
Review Status
Compare
Draft - Sue X. Zuki, 2010 Annual OGE 450 Report
Getting Started
Non-Investment Income
Assets
Liabilities
Outside Positions
Agreements
Gift
Wrap Up
Non-Investment Income
Add Income
Instructions: Report for yourself: (1) all sources of salary, fees, commissions, and other earned income greater than $200, (2) honoraria greater than $200, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than $200. Report for your spouse: (1) all sources of salary, fees, commissions, and other earned income greater than $1,000, and (2) honoraria greater than $200.
Reporting Period: 01/01/2009 through 12/31/2009
Source of Income
Type of Income
Recipient
Mutual Life, Philadelphia, PA, USA
Salary (other than Federal Government)
Spouse
Edit Income
Delete Income
Add Comment
◄Back
Add Income
Continue►
Common Questions
What are some common mistakes I should avoid?
My spouse works outside the home and earned $75,000 during the reporting period. Do I have to list her employer on the form?
I am employed part-time as a professor at a local college. I'm paid only $500 for teaching one class. Do I have to list the college on my report?
What non-investment income can I exclude?

Common Questions contain financial disclosure reporting questions and answers specific to the current screen.

User Testimonials

“Good example as to how E-filing should be…fast and easy”

- Filer

“Simple, straightforward, and easy to use.”

- Filer

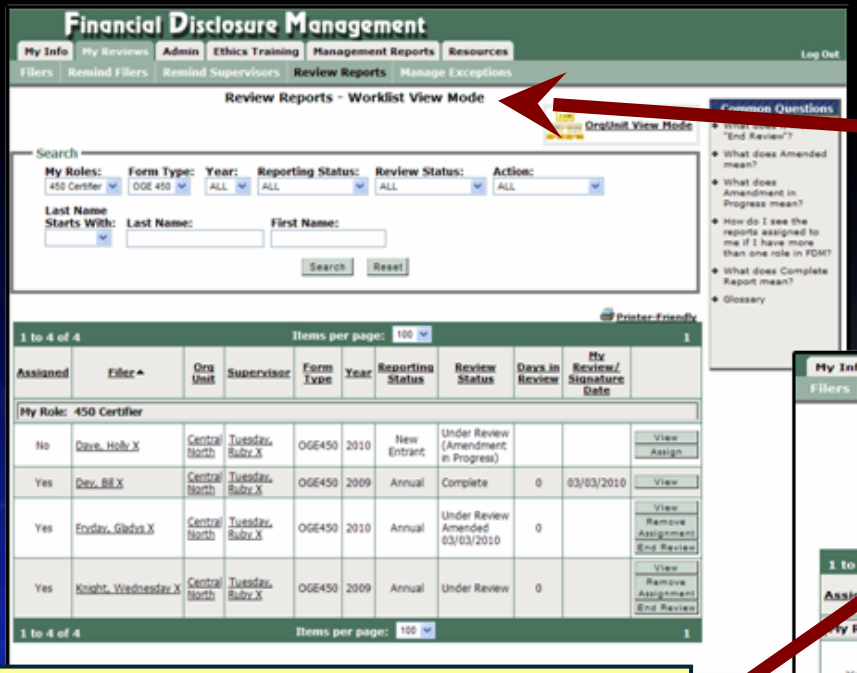
FDM Offers Ethics Officials…

- Side-by-side comparison of this year's report to previous reports to quickly and easily reconcile changes
- Automatic report validation using OGE-certified business rules
- Status tracking of disclosures in-process to provide up-to-date reporting of filer progress
- A suite of management reports offering Agency-wide visibility
- An audit trail that records all report activity
- Ability to add comments directly to a report
- Secure electronic signature capability
- Automatic e-mail notifications lets Ethics Official know when a report is ready for action

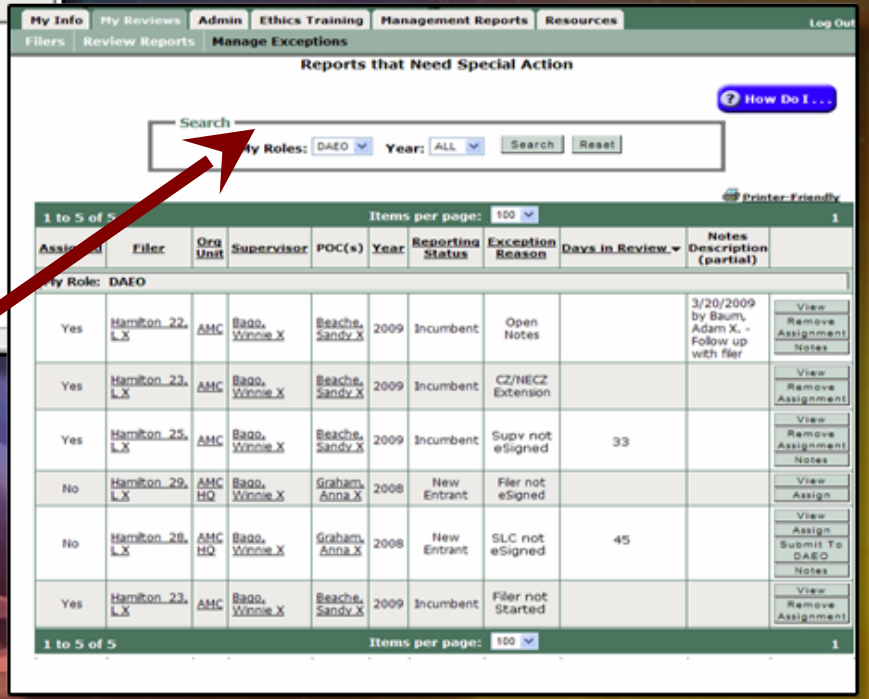
User Testimonial

"*Overall, the FDM system was easy to use and helpful in keeping track of our filers. Also, the FDM help desk was an excellent resource with outstanding customer service!*“

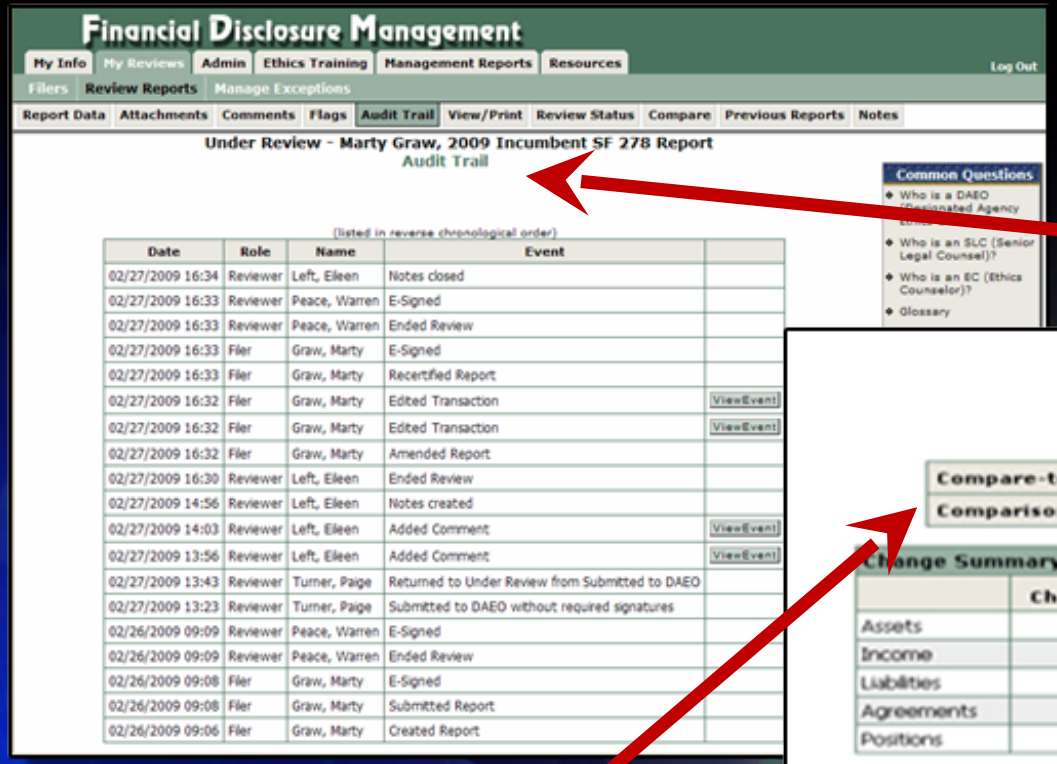
- Ethics Counselor



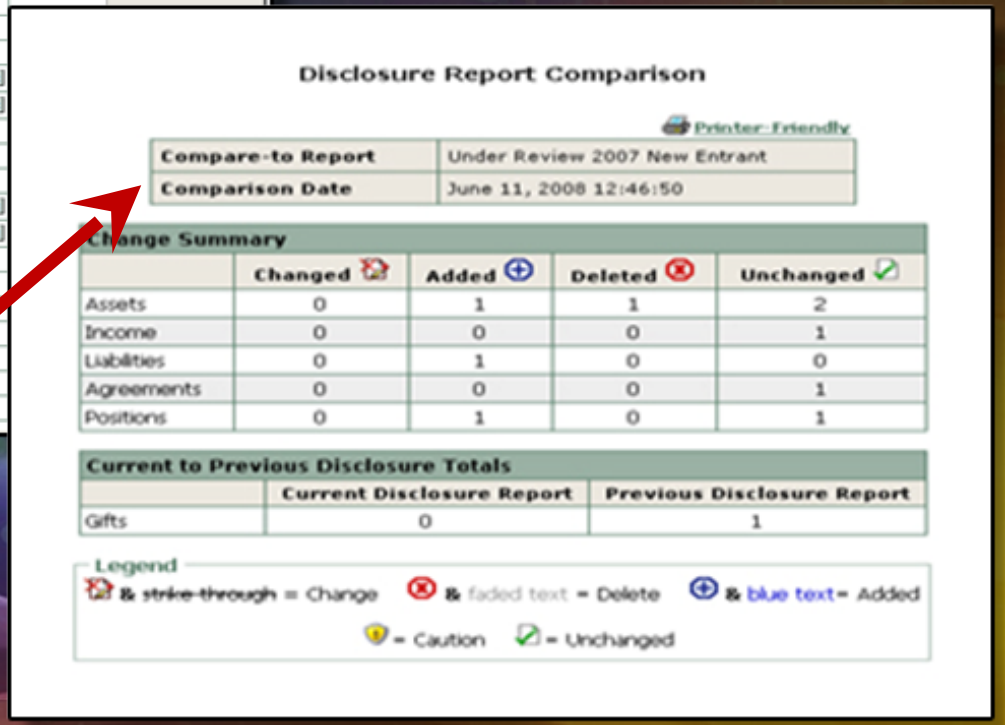
The Worklist displays only those disclosures that require review and signature. You can filter the Worklist to organize your reports for more efficient review.



Manage Exceptions is a tool used by Certifying Officials to manage reports for compliance and tracks reports that require special attention. Reports remain on the Manage Exceptions List until the issue is resolved.


Financial Disclosure Management
My Info
My Reviews
Admin
Ethics Training
Management Reports
Resources
Log Out
Filers
Review Reports
Manage Exceptions
Report Data
Attachments
Comments
Flags
Audit Trail
View/Print
Review Status
Compare
Previous Reports
Notes
Under Review - Marty Graw, 2009 Incumbent SF 278 Report
Audit Trail
Common Questions
Who is an SLC (Senior Legal Counsel)?
Who is an EC (Ethics Counselor)?
Glossary
(listed in reverse chronological order)
Date | Role | Name | Event
02/27/2009 16:34 | Reviewer | Left, Eileen | Notes closed
02/27/2009 16:33 | Reviewer | Peace, Warren | E-Signed
02/27/2009 16:33 | Reviewer | Peace, Warren | Ended Review
02/27/2009 16:33 | Filer | Graw, Marty | E-Signed
02/27/2009 16:33 | Filer | Graw, Marty | Recertified Report
02/27/2009 16:32 | Filer | Graw, Marty | Edited Transaction | ViewEvent
02/27/2009 16:32 | Filer | Graw, Marty | Edited Transaction | ViewEvent
02/27/2009 16:32 | Filer | Graw, Marty | Amended Report
02/27/2009 16:30 | Reviewer | Left, Eileen | Ended Review
02/27/2009 14:56 | Reviewer | Left, Eileen | Notes created
02/27/2009 14:03 | Reviewer | Left, Eileen | Added Comment | ViewEvent
02/27/2009 13:56 | Reviewer | Left, Eileen | Added Comment | ViewEvent
02/27/2009 13:43 | Reviewer | Turner, Paige | Returned to Under Review from Submitted to DAEO
02/27/2009 13:23 | Reviewer | Turner, Paige | Submitted to DAEO without required signatures
02/26/2009 09:09 | Reviewer | Peace, Warren | E-Signed
02/26/2009 09:09 | Reviewer | Peace, Warren | Ended Review
02/26/2009 09:08 | Filer | Graw, Marty | E-Signed
02/26/2009 09:08 | Filer | Graw, Marty | Submitted Report
02/26/2009 09:06 | Filer | Graw, Marty | Created Report

Use the Audit Trail to review report events and to verify if changes were made by the Filer.


Disclosure Report Comparison
Printer Friendly
Compare-to Report | Under Review 2007 New Entrant
Comparison Date | June 11, 2008 12:46:50
Change Summary
Changed | Added | Deleted | Unchanged
Assets | 0 | 1 | 1 | 2
Income | 0 | 0 | 0 | 1
Liabilities | 0 | 1 | 0 | 0
Agreements | 0 | 0 | 0 | 1
Positions | 0 | 1 | 0 | 1
Current to Previous Disclosure Totals
Current Disclosure Report | Previous Disclosure Report
Gifts | 0 | 1
Legend
& strike-through = Change
& faded text = Delete
& blue text = Added
= Caution
= Unchanged

You can easily compare changes/differences between a prior report and a current report.

User Testimonial

"FDM saves time because we do not have to file paper copies- everything is contained in the database. The filers also rave about FDM. They can carry over information from previous years and do not have to re-type everything every filing season."

- Ethics Counselor

Data Protection

- **Role-based security**
  - Access to financial disclosure report information is restricted to the members of a Filer's review chain
- **Encrypted Communication**
  - All personal information is protected through the use of encryption giving you the highest level of protection possible when making confidential transactions over the internet
- **Information Assurance**
  - FDM is FISMA compliant and conforms to DoD security guidance

**Please ask us if you would like more information about our security certifications*

FDM is Win-Win-Win

- **For the Filer:**
  - FDM transforms a once time-consuming chore into a quick and convenient task.
- **For Reviewers:**
  - FDM allows reviewers to focus on their core objective: identifying and resolving potential conflicts of interest.
- **For the Agency:**
  - FDM improves the costly, error prone, and time consuming paper process of managing OGE 278 and OGE 450 financial disclosure reports.
- **FDM is a tool that helps you accomplish your financial disclosure reporting mission better, faster & easier.**

Test Drive FDM

If you are interested in test driving FDM, contact

Raymond Henley,
FDM Government Project Lead
Raymond.e.henley.civ@mail.mil

In addition, you can go to the FDM Website
to view a variety of demos that cover all of FDM features.

https://www.fdm.army.mil/learningCenter/learningCenter.htm

Next Steps – Contact Us

- **George L. Hancock, Jr.**
  Associate Deputy General Counsel,
  Ethics & Fiscal
  Washington, DC
  COM: (703) 696-5512
  DSN: 426-5512
  geo-hancock@us.army.mil

- **David K. Garrett**
  US Army CECOM LCMC
  Chief
  Architecture Services Division
  Software Engineering Center
  COM: (443) 861-9048
  DSN: 848-9048
  david.k.garrett.civ@mail.mil

- **Raymond Henley**
  US Army CECOM LCMC
  FDM Government Project Lead
  Application Development Branch
  Software Engineering Center
  COM: (443) 861-8274
  DSN: 848-8274
  raymond.e.henley.civ@mail.mil

https://www.FDM.Army.mil